

Regulatory Services Record Retention Plan

Updated 10-20-06

Type of Record	Description	Retention Period	Person Responsible	Format	Location
Pro Hac Vice	Application and supporting documents	3 years	Regulatory Services Coordinator	Hard copy	On-site (bundled by year)
	Database record	3 years	Regulatory Services Coordinator	Electronic	Server
Status Changes					
	Log—numbered memos/notices	Current plus one year	Regulatory Services Coordinator	Electronic	Office
	Final Action Memos	Permanent (Membership File)	Regulatory Services Coordinator	Electronic	Server
	Inactive Log	Discontinue—destroy all old copies			
Membership Files					
	Signature Cards	Permanent	Public Records Coordinator	Electronic	Server
	Status Change Final Action Memos	See above	See above	See above	See above

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	Historical Items	Permanent (only if necessary for the file) --Destroy all unnecessary items	Public Records Coordinator	Electronic	Server
Reinstatements					
	BR 8.1 and BR 8.2	Permanent	Regulatory Services Coordinator	Electronic	Server
	All others	Permanent	Regulatory Services Coordinator	Electronic	Server
	Statistical Compilations	Permanent	Regulatory Services Coordinator	Electronic	Server
Public Records					
	Certificates of Good Standing	1 year	Public Records Coordinator	Hard copy	On-site
	General Correspondence	3 months	Public Records Coordinator	Hard copy	On-site
	Statistical Compilations	Permanent	Public Records Coordinator	Electronic	Server
Accounting	Logs	Current plus one year	Regulatory Services Coordinator	Hard copy	On-site
ABA Reporting	Reporting form & supporting documents	1 year	Discipline Office Administrator	Hard copy	On-site